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**State of Washington  
Department of Financial Institutions**

**Human Resource  
Management Report**



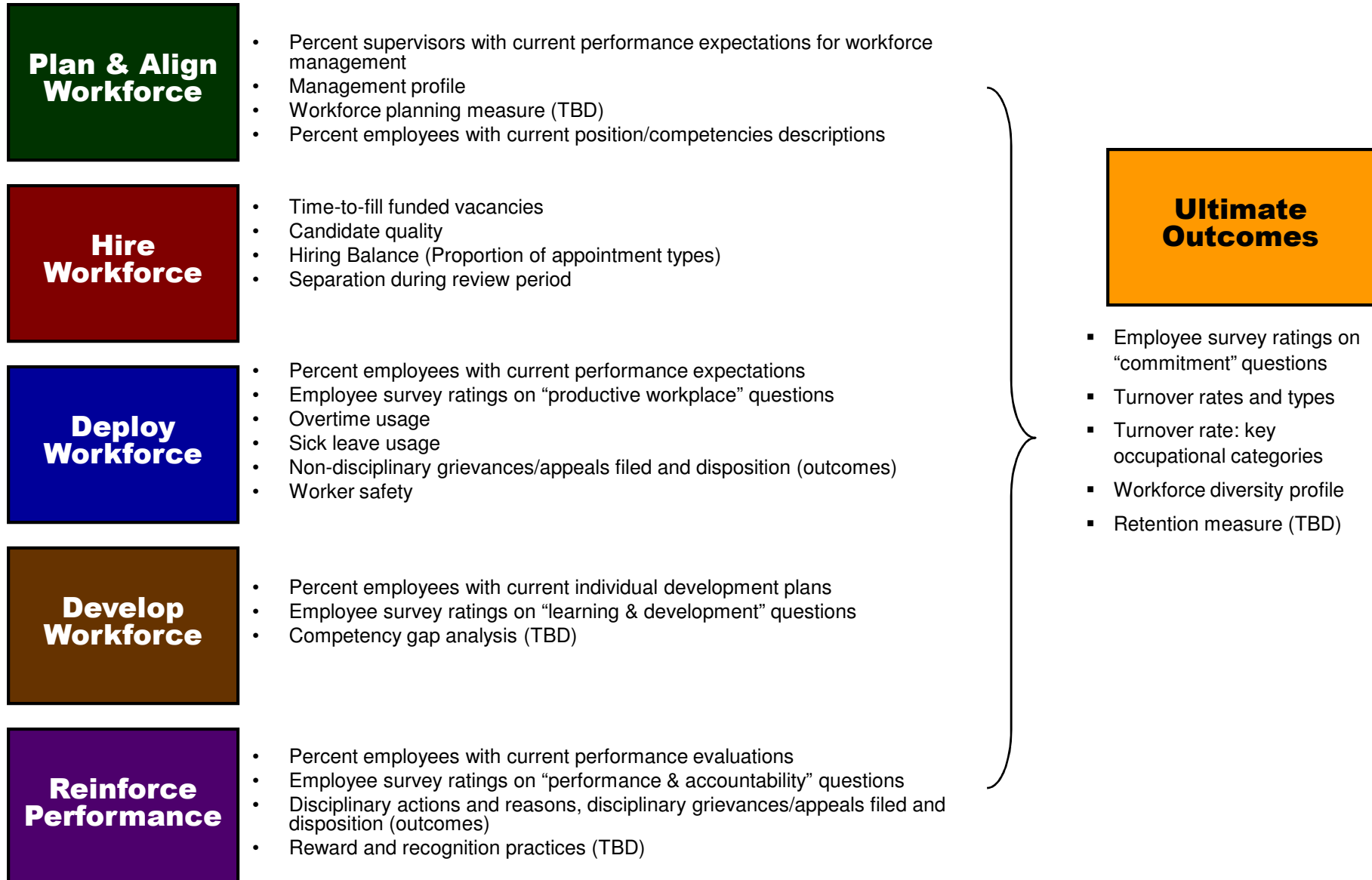
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October 2008

## Managers' Logic Model for Workforce Management



## Standard Performance Measures



## Plan & Align Workforce

### Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

### Performance Measures:

**Percent supervisors with current performance expectations for workforce management**

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

## Workforce Management Expectations

Agency Priority: **Low**

**Percent supervisors with current performance expectations for workforce management = 100%\***

\*Based on 42 of 42 reported number of supervisors

### Analysis:

- DFI is on an annual cycle for setting performance expectations and evaluating performance. In establishing this annual cycle, executive management required that PDP's for all supervisors have performance expectations for managing their workforce.

### Action Steps:

- Human Resources staff review PDP's for compliance with executive management requirement.

## Management Profile

Agency Priority: **Low**

# Plan & Align Workforce

### Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

### Performance Measures:

Percent supervisors with current performance expectations for workforce management

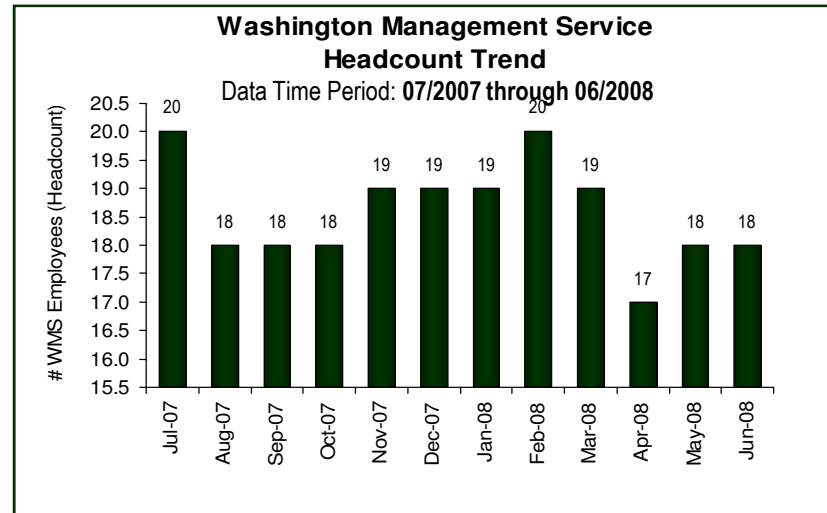
### Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

**WMS Employees Headcount = 18**
**Percent of agency workforce that is WMS = 9%**
**Managers\* Headcount = 33**
**Percent of agency workforce that is Managers\* = 16.4%**

\* In positions coded as "Manager" (includes EMS, WMS, and GS)



### Analysis:

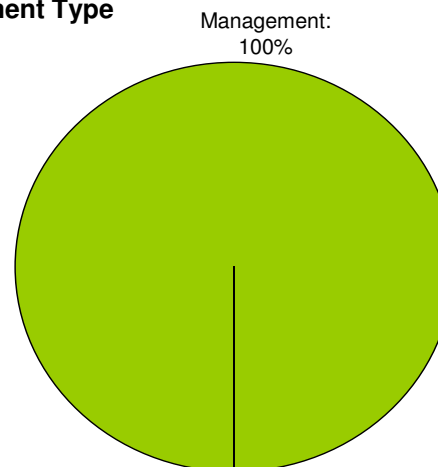
- DFI utilizes WMS only for positions that have a management function - typically managing a program or unit, and/or people.
- DFI's baseline for WMS positions is 10.4%. The agency continues to manage to this baseline and currently we are running below the baseline.

### Action Steps:

- DFI will continue to monitor and report on WMS positions as required.

### WMS Management Type

Management	<b>18</b>
Consultant	<b>N/A</b>
Policy	<b>N/A</b>
Not Assigned	<b>N/A</b>



Data as of 6/2008  
Source: HRMS Business Intelligence

# Plan & Align Workforce

## Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

## Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

**Percent employees with current position/competency descriptions**

## Current Position/Competency Descriptions

Agency Priority: **Low**

**Percent employees with current position/competency descriptions = 100%\***

\*Based on **197** of **197** reported employee count  
Applies to employees in permanent positions, both WMS & GS

## Analysis:

- DFI identified and adopted agency-wide competencies for all positions in 2001. Supervisors and managers review position descriptions with employees annually, and update them as necessary. Competencies are a key element of performance management within DFI and are utilized throughout the position descriptions and the PDP process.

## Action Steps:

- No action is required at this time. Ongoing review and monitoring by the Human Resources Office ensures compliance with this measure.

# Hire Workforce

## Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

## Performance Measures

### Time-to-fill vacancies

### Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

## Time-to-fill / Candidate Quality

Agency Priority: **Low**

### Time-to-fill Funded Vacancies

Average number of days to fill*:	<b>21</b>
Number of vacancies filled:	<b>29</b>

\*Equals # of days from creation of the requisition to job offer acceptance

Agency Priority: **Medium**

### Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Number = **42** Percentage = **67.7%**

Of the candidates interviewed, were hiring managers able to hire the best candidate for the job?

Hiring managers indicating "yes":

Number = **10** Percentage = **100%**

Hiring managers indicating "no":

Number = **0** Percentage = **0%**

## Analysis:

- DFI began tracking the time-to-fill vacancies and candidate quality manually in April 2007 per the definitions outlined by DOP. The data contained in this report will serve as DFI's baseline in future HR Management Reports.

## Action Steps:

- As identified in the 2009 – 2011 Strategic Plan, DFI will utilize technology and other progressive recruitment tools to broaden the talent and applicant pool.
- Also identified in the 2009 – 2011 Strategic Plan, DFI will develop multiple focus groups from within each generation in the current workforce to identify recruitment strategies by June 30, 2010.

# Hire Workforce

## Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

## Performance Measures

Time-to-fill vacancies

Candidate quality

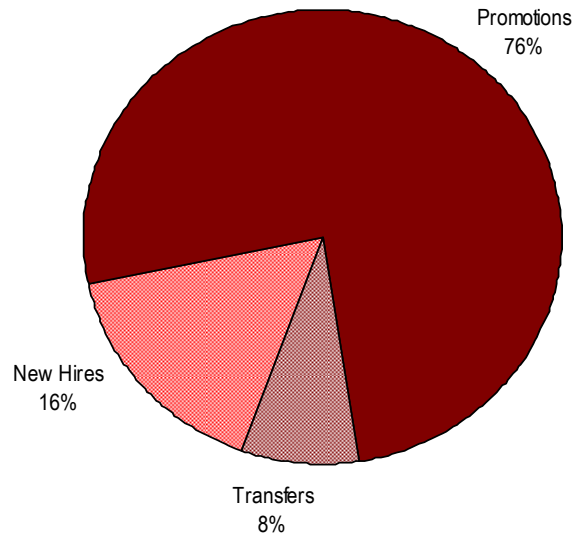
**Hiring Balance**  
(proportion of appointment types)

**Separation during review period**

## Hiring Balance / Separations During Review Period

Agency Priority: **Medium**

### Types of Appointments



**Total number of appointments = 25\***

Includes appointments to permanent vacant positions only; excludes reassignments  
\*Other = Demotions, re-employment, reversion & RIF appointments

Agency Priority: **Low**

### Separation During Review Period

Probationary separations - Voluntary	1
Probationary separations - Involuntary	1
<i>Total Probationary Separations</i>	<i>2</i>
Trial Service separations - Voluntary	0
Trial Service separations - Involuntary	0
<i>Total Trial Service Separations</i>	<i>0</i>
<b>Total Separations During Review Period</b>	<b>2</b>

Data Time Period: 7/2007 through 06/2008  
Source: HRMS Business Intelligence

## Analysis:

- DFI offers promotional opportunities throughout the agency, and encourages professional development and training activities that enhance promotional opportunities for its employees. Although promotion occurs at nearly all levels, the Financial Examiner and Financial Legal Examiner series allow strong career paths for employees.
- With the additional performance management abilities created by broader Civil Service Rules, agency management is better utilizing trial service and probationary periods to manage sub-par performance.

## Action Steps:

- HR will continue to partner with agency management – consulting on performance issues and utilization of trial and probationary periods, as well as reviewing and reporting on promotional opportunities and options for agency staff.
- As identified in the 2009 – 2011 Strategic Plan, DFI will assess and improve the quality of the new employee orientation to ensure that all new employees receive consistent information that will help them succeed within the agency.
- The 2009 – 2011 DFI Strategic Plan also indicates that DFI will develop and implement a supervisor/manager training program and study the feasibility and methods to balance employee to supervisor ratio. DFI will also develop and pilot an internal mentoring program for new employees.



# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

### Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Current Performance Expectations

Agency Priority: **Low**

**Percent employees with current performance expectations = 100%\***

\*Based on 181 of 181 reported employee count  
Applies to employees in permanent positions, both WMS & GS

### Analysis:

- DFI holds both supervisors and employees accountable for active participation in setting and clarifying performance expectations.

### Action Steps:

- DFI requires supervisors to complete individual Performance Development Plans (PDP) for all new employees\* within the first 30 days of their appointment.
- DFI requires supervisors to update individual PDP's on a periodic and on an "as needed" basis throughout the performance period.
- DFI provides ongoing PDP workshops to supervisors and employees that stress the importance of keeping performance expectations current and encourages open, collaborative communication as part of the PDP process.

Data as of 10/2008  
Source: Agency Tracking – HR Office

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

## Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

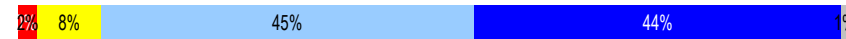
Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Employee Survey "Productive Workplace" Ratings

Agency Priority: **Low**

Q4. I know what is expected of me at work.



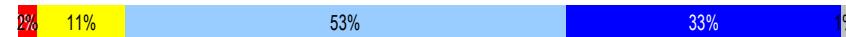
Q1. I have the opportunity to give input on decisions affecting my work.



Q2. I receive the information I need to do my job effectively.



Q6. I have the tools and resources I need to do my job effectively.



Q7. My supervisor treats me with dignity and respect.



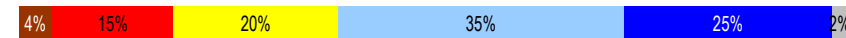
Q13. My agency consistently demonstrates support for a diverse workforce.



Q8. My supervisor gives me ongoing feedback that helps me improve my performance.



Q9. I receive recognition for a job well done.



■ Never/Almost Never    ■ Seldom    ■ Occasionally  
 ■ Usually    ■ Always/Almost Always    ■ No Response

Overall average score for "Productive Workplace" ratings:

4.1

Avg

4.3

3.9

4.1

4.2

4.4

4.3

3.8

3.6

### Analysis:

- Although there was a slight decrease in the overall average from the 2006 survey results to the 2007 survey results, the decrease was not statistically significant. DFI scored relatively high in all of the productive workplace questions. In comparison with previous DFI surveys and like questions, and the statewide data, DFI continues to score well.
- Recognition appears to be an area that is suffering from the employees perspective.
- DFI received Performance Management Confirmation in August 2007 and implemented the first cycle of ARROW Performance Recognition Pay Awards.
- DFI surveyed staff following the awards distribution and utilized data and comments from the survey to address issues and make improvements to the ARROW Program.
- Based on survey results, DFI developed and delivered targeted training to all employees and specific training to supervisors and managers.

### Action Steps:

- DFI will continue to survey staff following the ARROW Awards and utilize the data and comments to address issues and make improvements to the ARROW Program.
- DFI will continue to develop and deliver targeted training to all employees and specific training to supervisors and managers.

## Overtime Usage

Agency Priority: **Low**

### Deploy Workforce

#### Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

#### Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

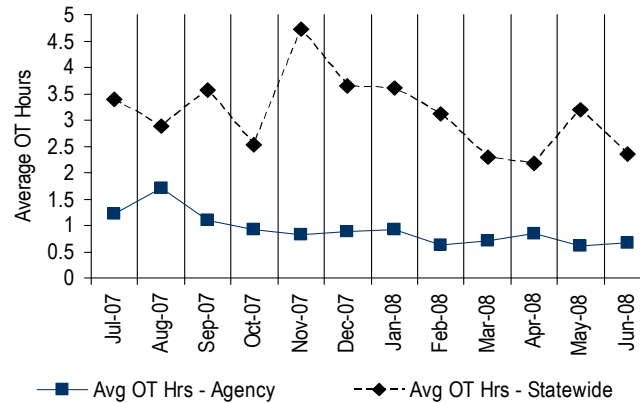
#### Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

#### Average Overtime (per capita) \*

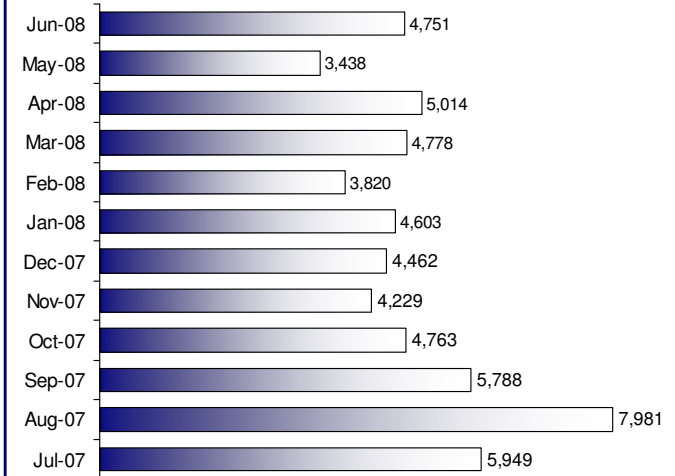


Overall agency avg overtime usage – per capita, per month: **0.92\*\***

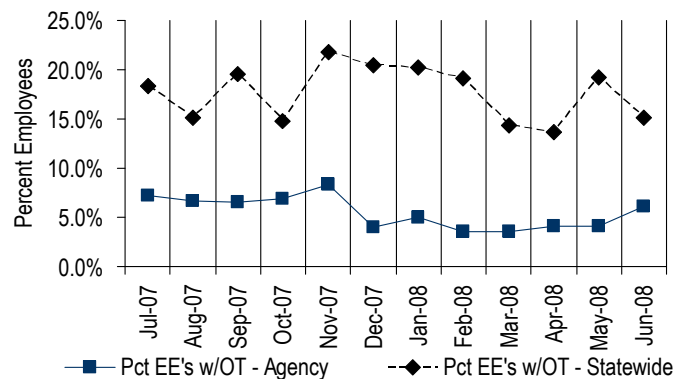
\*Statewide overtime values do not include DNR

\*\*Overall agency avg overtime usage – per capita, per month = sum of monthly OT averages / # months

#### Overtime Cost - Agency



#### % Employees Receiving Overtime \*



Overall agency avg employees receiving overtime per month: **5.51%\*\***

\*Statewide overtime values do not include DNR

\*\*Overall agency avg employees receiving overtime per month = sum of monthly OT percentages / # months

Data Time Period: 07/2007 through 06/2008

Source: HRMS Business Intelligence

#### Analysis:

- As a whole, DFI does not have a large number of employees receiving overtime and costs to the agency are immaterial.
- The increase in overtime during August 2007 is attributed to a licensing backlog in the Division of Consumer Services.
- DFI also attributes some overtime cost to a few hourly, non-permanent employees who are conducting specialized examination work.

#### Action Steps:

- DFI has reviewed and monitored agency overtime cost of hourly, non-permanent employees, and made some of the appointments salaried rather than hourly. We will continue to monitor this and may make further changes to salary from hourly appointments.

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

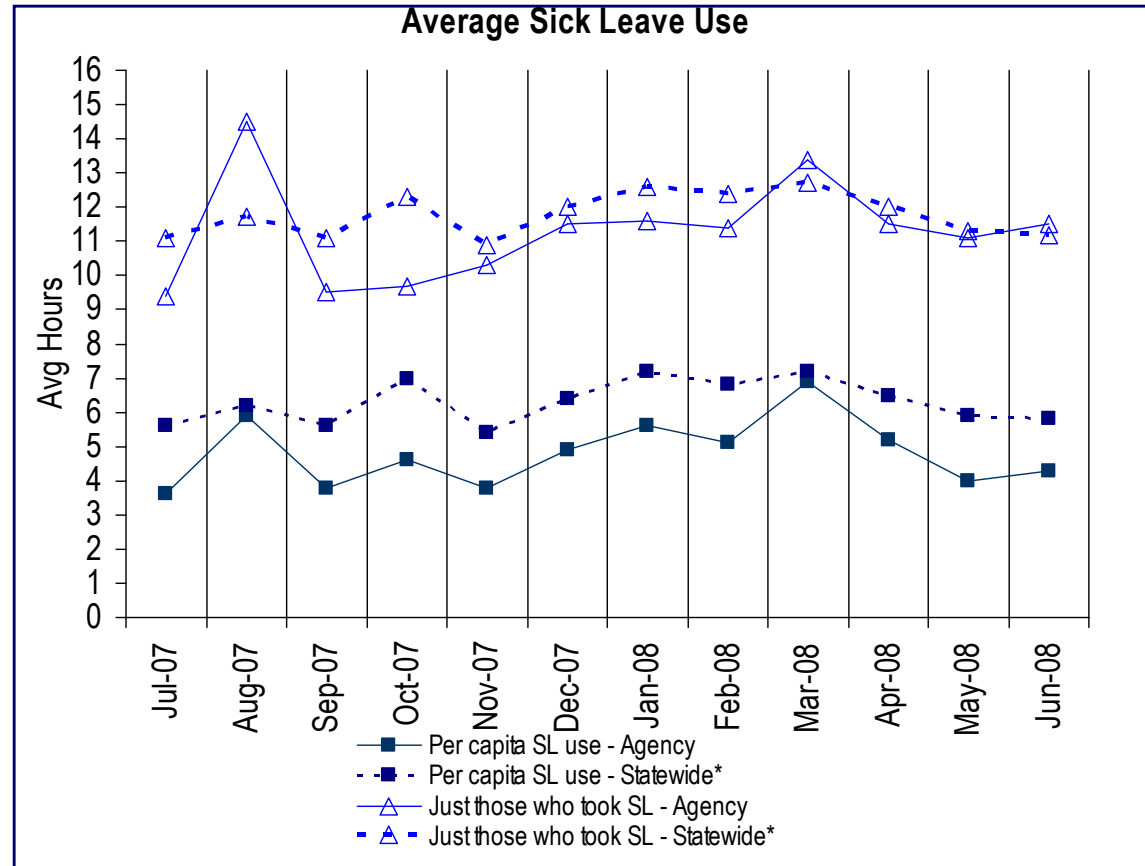
## Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

## Sick Leave Usage

Agency Priority: **Medium**



### Sick Leave Hrs Used / Earned (per capita)

Avg Hrs SL Used (per capita) - Agency	% of SL Hrs Earned (per capita) - Agency	Avg Hrs SL Used (per capita) - Statewide*	% of SL Hrs Earned (per capita) - Statewide*
4.8 Hrs	62.8%	6.3 Hrs	81.3%

### Sick Leave Hrs Used / Earned (those who took SL)

Avg Hrs SL Used (those who took SL) - Agency	% SL Hrs Earned (those who took SL) - Agency	Avg Hrs SL Used (those who took SL) - Statewide*	% SL Hrs Earned (those who took SL) - Statewide*
11.3 Hrs	141.1%	11.8 Hrs	147.3%

Data Time Period: 7/2007 through 06/2008  
Source: DOP

\* Statewide data does not include DOL, DOR, L&I, and LCB

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

## Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Agency Priority: **Medium**

## Sick Leave Usage (cont.)

### Analysis:

- Average sick leave hrs used per capita for DFI remains below the statewide average.
- Average sick leave hrs used as a percentage of earned for those employees that used sick leave is slightly lower than the statewide average. Our goal will be to implement the actions below to reduce this measure to below the statewide average.
- DFI implemented a wellness program to improve overall employee wellness.
- DFI arranged for paid on-site flu shots for all employees in Fall 2007.
- DFI participated in the Governor's Health bowl and received an award for top three of the Healthiest Business Challenge.
- DFI's Wellness Committee provided onsite yoga, a physical activity intervention, and onsite biometrics and health surveys with a comprehensive report. Promotions, such as encouraging Farmer's Market visits, Energize Your Meeting Guidelines, and stocking the vending machines with Fit Picks, was also implemented. The committee also brought in a dietician for a brown bag lunch.

### Action Steps:

- HR & agency management will continue to monitor sick leave use to determine other trends.
- DFI will contract Crucial Conversations training in 2009 to assist supervisors in dealing with chronic abusers.
- DFI's Wellness Committee has scheduled free on-site flu shots for employees in October 2008. The committee also provides for physical activity opportunities, such as free strength conditioning during lunchtime beginning in October 2008. They also provide healthy eating habit information and general wellness information.

## Non-Disciplinary Appeals (mostly non-represented employees)

Agency Priority: **Low**

### Deploy Workforce

#### Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

#### Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

**Non-disciplinary grievances/appeals filed and disposition (outcomes)**

Worker safety

#### Grievance Disposition

- DFI is non-represented, and does not have grievances. The agency has a complaint process and procedure in place – for resolving employee complaints.
- Non-disciplinary complaints are resolved at the supervision level, starting at immediate supervisor, then proceeding to second and third level supervision as necessary. Final complaint resolution rests with Agency Director.
- Complaints involving higher-level non-disciplinary issues (discrimination, etc.) are received by HR, processed and resolved in cooperation with, and guidance by, agency executive management.

Data Time Period: 7/2007 through 7/2008  
Source: Department of Personnel

# Deploy Workforce

## Outcomes

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations  
Employee survey ratings on 'productive workplace' questions  
Overtime usage  
Sick leave usage  
Non-disciplinary grievances/appeals filed and disposition outcomes

## Worker Safety

## Worker Safety: Financial Institutions, Department of

Department of Financial Institutions

Agency Priority: **Low**

### Analysis:

- DFI has a history of very low incidents with regard to safety. Therefore, the agency focuses on preventative measures that will keep our incident rate to a minimum rather than to set quantitative measures around incident rates.
- DFI provided an in-house ergonomics training and began posting ergonomic tips on the intranet.
- L&I Risk Management representatives met with management to discuss risk management for the agency.

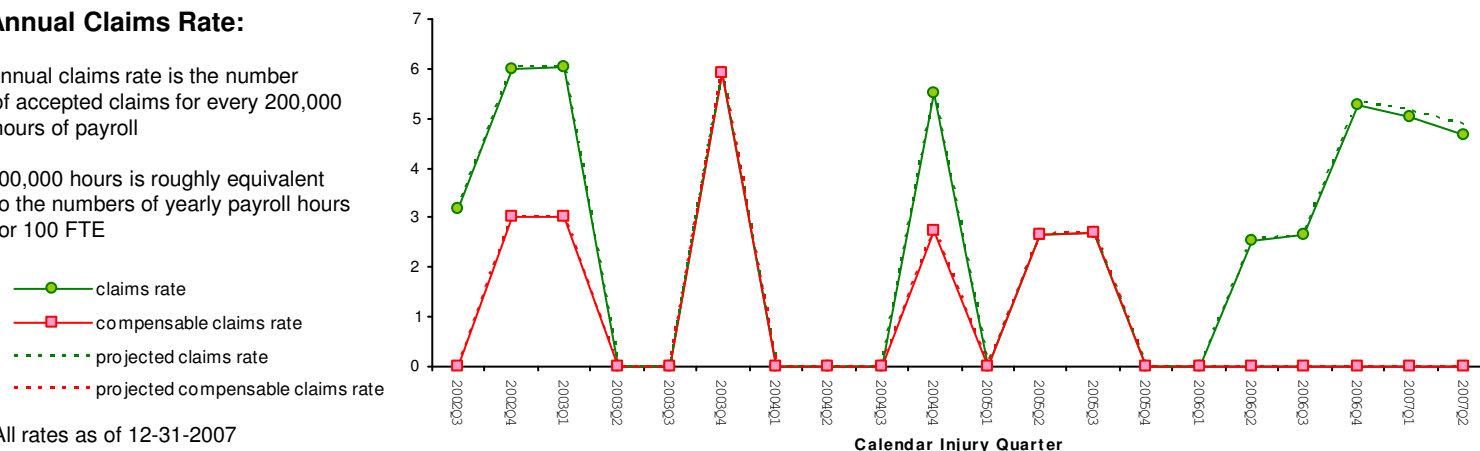
### Action Plan:

- The DFI Safety Committee will conduct monthly audits for hazards in the work areas.
- DFI will post hazards in the workplace posters throughout work areas.

### Annual Claims Rate:

Annual claims rate is the number of accepted claims for every 200,000 hours of payroll

200,000 hours is roughly equivalent to the numbers of yearly payroll hours for 100 FTE

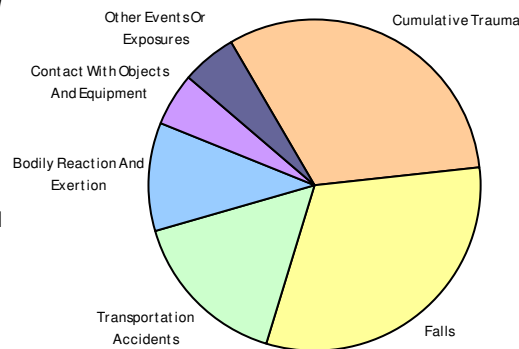


All rates as of 12-31-2007

### Accepted Claims by Occupational Injury and Illness Classification System (OIICS) Event:

calendar year-quarter  
2002Q3 through 2007Q2

(categories under 3%, or not adequately coded, are grouped into 'Misc.')



### Cumulative Trauma Claims

Oiics Code	Oiics Description	Count
2	Bodily Reaction And Exertion	5
9	Other Events Or Exposures	1

Source: Labor & Industries, Research and Data Services (data as of 12/31/2007 )

## Develop Workforce

### Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

### Performance Measures

Percent employees with current individual development plans

Employee survey ratings on "learning & development" questions

Competency gap analysis (TBD)

## Individual Development Plans

Agency Priority: **Medium**

**Percent employees with current individual development plans = 85%\***

\*Based on 154 of 181 reported employee count  
Applies to employees in permanent positions, both WMS & GS

### Analysis:

- DFI provides on-going training and professional development opportunities for all staff in addition to mandatory training. DFI also offers tuition reimbursement to all permanent employees and encourages continuing education.

### Action Steps:

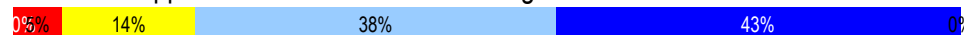
- DFI will continue to require supervisors to identify training requirements and update individual PDP's on a periodic basis throughout the performance period, as employee's skill sets or training needs change.
- DFI requires supervisors to complete individual Performance Development Plans (PDP) for all new employees\* within the first 30 days of their appointment.

## Employee Survey "Learning & Development" Ratings

Agency Priority: **Low**

### Employee Survey "Learning & Development" Ratings

Q5. I have opportunities at work to learn and grow.



Avg

4.2

Q8. My supervisor gives me ongoing feedback that helps me improve my performance.



3.8

■ Never/Almost Never   
 ■ Seldom   
 ■ Occasionally  
■ Usually   
 ■ Always/Almost Always   
 ■ No Response

**Overall average score for "Learning & Development" ratings:**

**4.0**

Data as of:  
Development Plans: 10/2008  
Employee Survey: 12/2007  
Source: Agency Tracked – HR Office  
DOP Employee Survey

### Analysis:

- While the rating number dropped from 4.2 to 4.0 since the last survey, DOP and DFI do not consider this statistically significant.

### Action Steps:

- DFI will continue to require supervisors to identify training requirements and update individual PDP's on a periodic basis throughout the performance period, as employee's skill sets or training needs change.



## Reinforce Performance

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

#### Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

## Current Performance Evaluations

Agency Priority: **Low**

### Percent employees with current performance evaluations = 100%\*

\*Based on 181 of 181 reported employee count  
Applies to employees in permanent positions, both WMS & GS

### Analysis:

- DFI has maintained a 100% completion rate on current performance evaluations since 2005 (three years).
- DFI received Performance Management Confirmation in August 2007. The ARROW Award Program and Executive Management require that the agency maintain a 100% completion rate on current performance evaluations.

### Action Steps:

- HR monitors compliance with this measure and provides tracking reports to supervisors and managers bi-monthly.

Agency Priority: **Low**

## Reinforce Performance

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

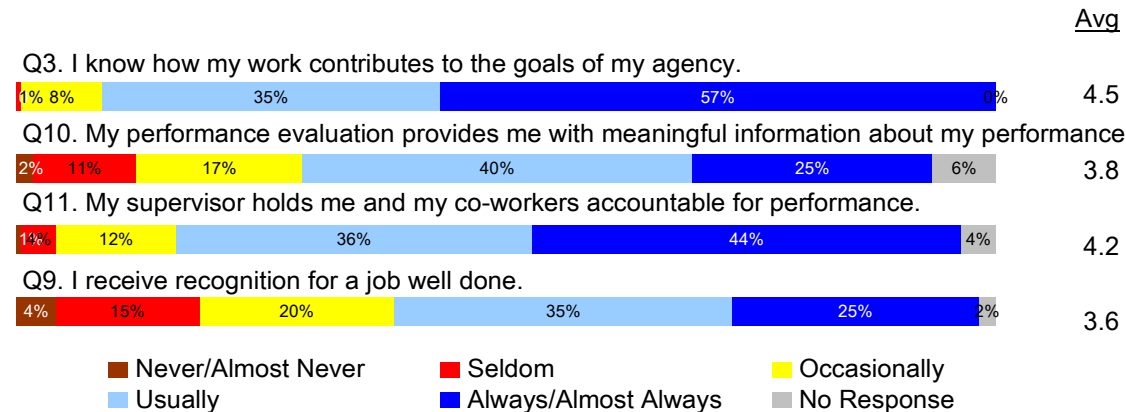
Percent employees with current performance evaluations

### Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

## Employee Survey "Performance & Accountability" Ratings



**Overall average score for "Performance & Accountability" ratings: 4.0**

### Analysis:

- Although the overall survey results average decreased from 4.1 in 2006 to 4.0 in 2007, the decrease was not statistically significant.
- DFI received Performance Management Confirmation in August 2007 and implemented the first cycle of ARROW Performance Recognition Pay Awards.
- DFI surveyed staff following the awards distribution and utilized data and comments from the survey to address issues and make improvements to the ARROW Program.
- Based on survey results, DFI developed and delivered targeted training to all employees and specific training to supervisors and managers.

### Action Steps:

- DFI will continue to survey staff following the ARROW Awards and utilize the data and comments to address issues and make improvements to the ARROW Program. The second year of ARROW awards are currently in process.
- DFI will continue to develop and deliver targeted training to all employees and specific training to supervisors and managers.

Data as of 12/2007  
Source: DOP Employee Survey

## Reinforce Performance

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

Reward and recognition practices (TBD)

## Formal Disciplinary Actions

Agency Priority: **Low**

As of October 2008, DFI does not have any Formal Disciplinary Actions.

## Disciplinary Grievances and Appeals

Agency Priority: **Low**

### Reinforce Performance

#### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

#### Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

Reward and recognition practices (TBD)

As of October 2008, DFI does not have any disciplinary grievances or appeals.

#### Grievance Disposition

- DFI is non-represented, and does not have grievances. The agency has a complaint process and procedure in place for resolving employee complaints.
- Non-disciplinary complaints are resolved at the supervision level, starting at immediate supervisor, then proceeding to second and third level supervision as necessary. Final complaint resolution may rest with Agency Director.
- Complaints involving higher-level non-disciplinary issues (discrimination, etc.) are received by HR, processed and resolved in cooperation with and guidance by agency executive management.

# ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

## Performance Measures

**Employee survey ratings on "commitment" questions**

Turnover rates and types

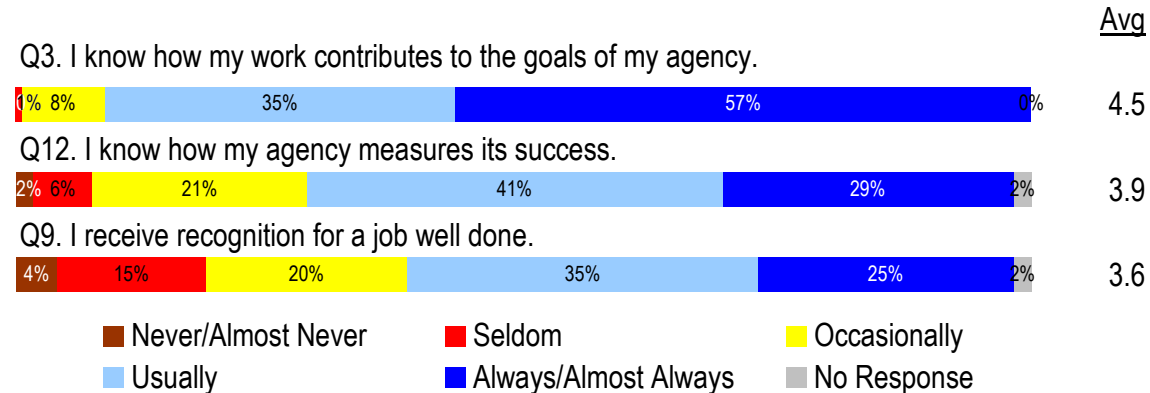
Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

## Employee Survey "Employee Commitment" Ratings

Agency Priority: **Low**



**Overall average score for "Employee Commitment" ratings: 4.0**

### Analysis:

- The overall average score for "Employee Commitment" remained the same from 2006 to 2007. This indicates that agency staff continue to understand the linkage between their job duties and the mission and goals of the agency. Utilization of the PDP process in 2004 has helped in achieving this understanding.
- GMAP presentations occur on a regular basis and show measurement of agency activities.
- DFI received Performance Management Confirmation in August 2007 and implemented the first cycle of ARROW Performance Recognition Pay Awards.

### Action Steps:

- DFI will encourage all staff to attend GMAP presentations to gain better understanding of measuring the agency's success.
- DFI will continue to survey staff following the ARROW Awards and utilize the data and comments to address issues and make improvements to the ARROW Program. The second year of ARROW awards are currently in process.
- DFI will continue to develop and deliver targeted training to all employees and specific training to supervisors and managers.

# ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

## Performance Measures

Employee survey ratings on "commitment" questions

## Turnover rates and types

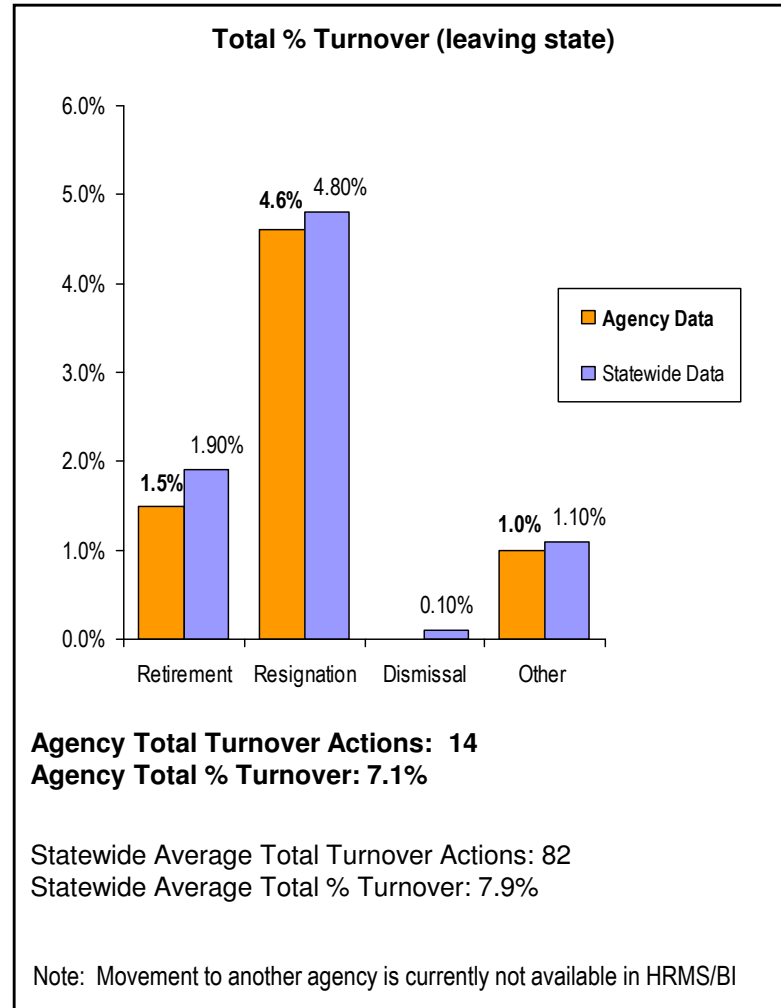
Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

## Turnover Rates

Agency Priority: **Medium**



### Analysis:

- DFI's total percentage of turnover remains lower than the state average.
- The number of turnover actions has decreased from 9.6% in 2007 to 7.1% in 2008.
- DFI continues to monitor turnover and explore ways to improve recruitment and retention, specifically in hard-to-fill positions.
- DFI established a Recruitment and Retention committee to explore options. The committee developed an action plan to increase recruitment outreach and utilize retention tools allowed under the Civil Service Rules and Agency policy.

### Action Steps:

- DFI will continue to utilize retention tools allowed under the Civil Service Rules and Agency policy.
- As identified in the 2009 – 2011 Strategic Plan, DFI will develop multiple focus groups from within each generation in the current workforce to identify retention strategies.
- Also identified in the 2009 – 20011 Strategic Plan, DFI will explore additional performance recognition awards within the ARROW Program and will develop succession plans for key positions.
- DFI will review viable options for competitive compensation for Financial Examiner and Financial Legal Examiner job classes.

## Workforce Diversity Profile

Agency Priority: **Medium**

### ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

### Performance Measures

Employee survey ratings on "commitment" questions

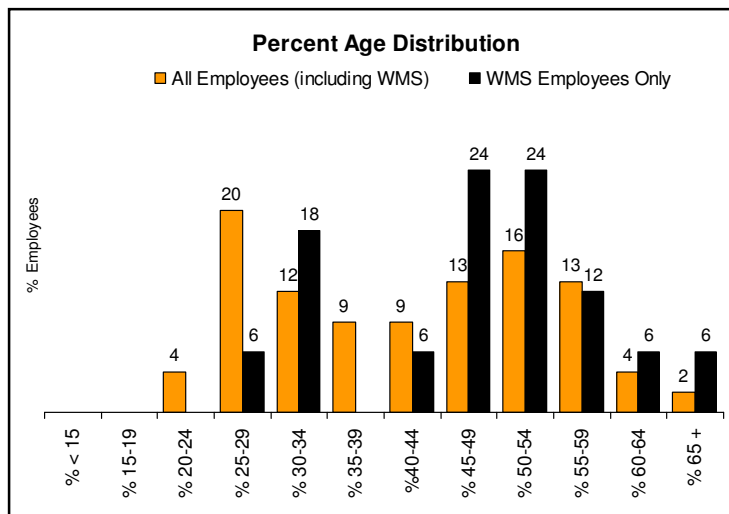
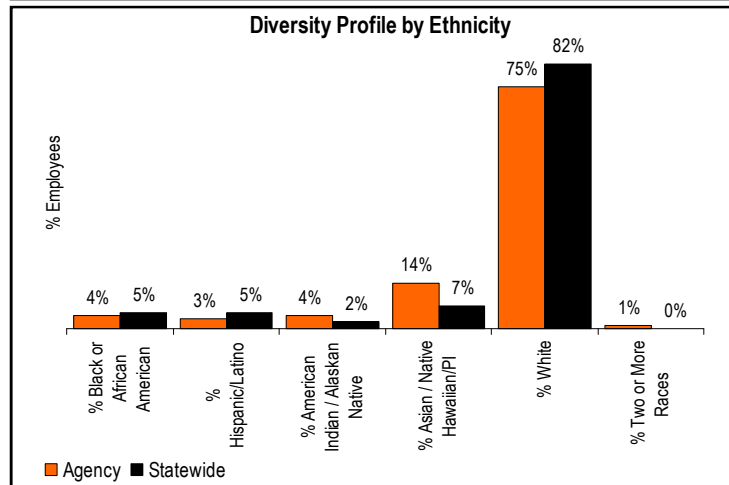
Turnover rates and types

Turnover rate: key occupational categories

**Workforce diversity profile**

Retention measure (TBD)

	Agency	State
Female	58%	53%
Persons w/Disabilities	5%	4%
Vietnam Era Veterans	6%	6%
Veterans w/Disabilities	4%	2%
People of color	25%	18%
Persons over 40	56%	75%



### Analysis:

- DFI leads or matches the statewide average in every category with the exception of Persons over 40. This is a reflection of sound recruitment and hiring practices, and the strong value and recognition the agency places on having a diverse workforce.
- While the statewide average of Persons over 40 is higher, DFI's percentage in that category is more in balance for sustaining the current workforce for a longer period of time.
- DFI identified additional recruitment resources to target specific demographics and created an action plan to utilize new venues, professional organizations and publications to reach a broader talent pool.

### Action:

- DFI will continue to research additional recruitment resources to target specific demographics, utilizing new venues, professional organizations, and publications to reach a broader talent pool.
- As identified in the 2009 – 2011 Strategic Plan, DFI will develop multiple focus groups from within each generation in the current workforce to identify recruitment and retention strategies in order to recruit and retain a high performing diverse workforce by June 30, 2010.

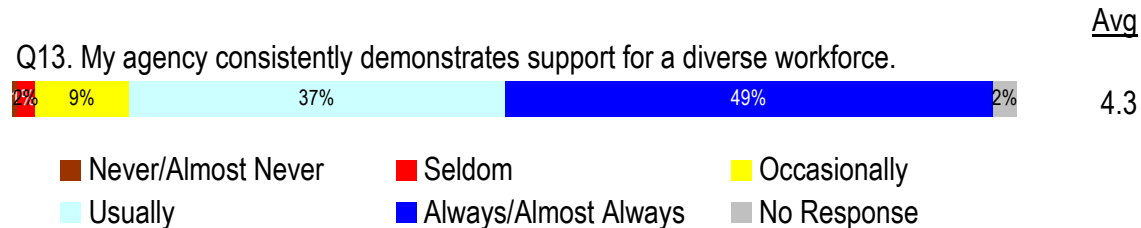
Data as of 7/2008  
Source: DOP

## Workforce Diversity Profile

### Employee Survey “Support for a Diverse Workforce” Ratings

Agency Priority: **Medium**

#### Employee Survey "Diversity" rating



Average rating for "Agency support for a diverse workforce":	4.3
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#### Analysis:

- This was a new question in the DOP Employee Survey and will serve as a baseline for future HR Management Reports.
- As indicated in the response to this question, DFI employees clearly feel that the agency consistently supports a diverse workforce. DFI takes a proactive approach to diversity and affirmative action issues by placing a high emphasis on recruiting and retaining a skilled and highly diverse workforce.
- DFI utilizes tools available through the Civil Service Rules to recruit and retain its diverse workforce.
- The HR Office prepares quarterly Affirmative Action Reports and meets with management to review them.

#### Action Steps:

- DFI will continue to research additional recruitment resources to target specific demographics, utilizing new venues, professional organizations, and publications to reach a broader talent pool.
- As identified in the 2009 – 2011 Strategic Plan, DFI will develop multiple focus groups from within each generation in the current workforce to identify recruitment and retention strategies in order to recruit and retain a high performing diverse workforce.
- The HR Office will continue to provide quarterly Affirmative Action Report and meets with management to review them.

## ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

#### Performance Measures

Employee survey ratings on "commitment" questions

Turnover rates and types

Turnover rate: key occupational categories

**Workforce diversity profile**

Retention measure (TBD)